![Indiana Department of Education — Supporting Student Success]

Principal Effectiveness Rubric

"We have the power and the responsibility to close the achievement gap."

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Overview

What is the purpose of the Principal Effectiveness Rubric?

The Principal Effectiveness Rubric was developed for three key purposes:

- **To Shine a Spotlight on Great Leadership:** The rubric is designed to assist schools and districts in their efforts to increase principal effectiveness and ensure the equitable distribution of great leaders across the state.

- **To Provide Clear Expectations for Principals:** The rubric defines and prioritizes the actions that effective principals must engage in to lead breakthrough gains in student achievement.

- **To Support a Fair and Transparent Evaluation of Effectiveness:** The rubric provides the foundation for accurately assessing school leadership along four discrete proficiency ratings, with student growth data used as the predominant measure.

Who developed the Principal Effectiveness Rubric?

A representative group of teachers and leaders from across the state, along with staff from the Indiana Department of Education (IDOE), contributed to the development of the rubric.

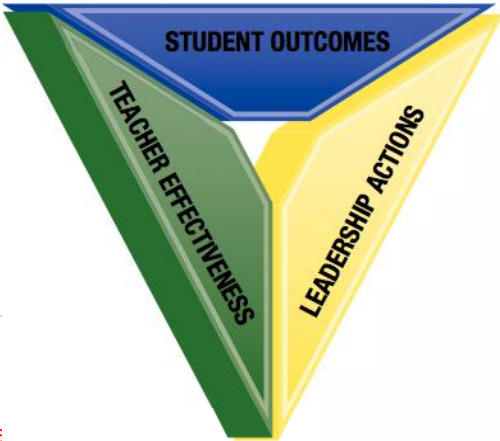### What research and evidence support the Principal Effectiveness Rubric?

While drafting the Principal Effectiveness Rubric, the development team examined leadership frameworks from numerous sources, including:
- Achievement First's *Professional Growth Plan for School Principals*

- CHORUS's *Hallmarks of Excellence in Leadership*
- Clay Christensen's *Disrupting Class*
- Discovery Education's *Vanderbilt Assessment of Leadership in Education (VAL-ED)*
- Doug Reeves' *Leadership Performance Matrix*
- Gallup's *PrincipalInsight*
- ISLLC's *Educational Leadership Policy Standards*
- Kim Marshall's *Principal Evaluation Rubrics*
- KIPP's *Leadership Competency Model*
- Mass Insight's *HPHP Readiness Model*
- National Board's *Accomplished Principal Standards*
- New Leaders for New Schools' *Urban Excellence Framework*
- NYC Leadership Academy's *Leadership Performance Standards Matrix*
- Public Impact's *Turnaround Leaders Competencies*
- Todd Whitaker's *What Great Principals Do Differently*

How is the Principal Effectiveness Rubric organized?

Based on New Leaders for New Schools' three-pronged definition of principal effectiveness, the rubric is divided into three domains:

- Domain 1: Student Outcomes
- Domain 2: Teacher Effectiveness
- Domain 3: Leadership Actions

Discrete indicators within each domain target specific areas that effective principals must focus upon.

Student growth on ISTEP+, as well as student growth on other measures, is encapsulated under Domain 1: Student Outcomes (see Indicators 1.1.2a and 1.1.2b on page 5).

What about other areas (e.g. student discipline, school climate and safety)?

It is undeniable that a principal is required to wear many hats, from instructional leader and disciplinarian to budget planner and plant manager. The needed skill set has even been described to include the "wisdom of a sage, vision of a CEO, intellect of a scholar, leadership of a point guard, compassion of a counselor, moral strength of a nun, courage of a firefighter, craft knowledge of a surgeon, political savvy of a senator, toughness of a soldier, listening skills of a blind man, humility of a saint, collaborative skills of an entrepreneur, certitude of a civil rights activist, charisma of a sage performer, and patience of Job."[1] As the job becomes more demanding and complex, the question of how to fairly and effectively evaluate principals takes on greater importance.
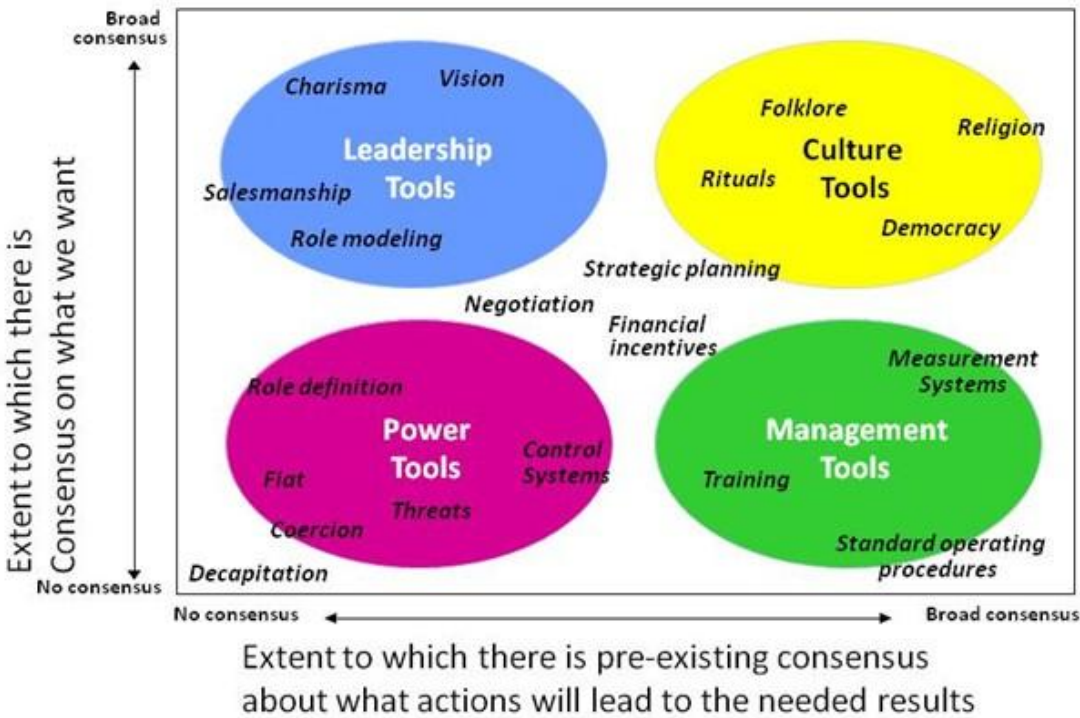
In reviewing leadership frameworks as part of the development of the Principal Effectiveness Rubric, the goal was not to create a principal evaluation that would try to be all things to all people. Rather, the rubric focuses unapologetically on evaluating the principal's role as driver of student growth and achievement. Moreover, this focus reflects a strong belief that if a principal is evaluated highly on this particular instrument, he/she will likely be effective in areas not explicitly touched upon in the rubric such as school safety or school operations.

This is not to say that principals should not be evaluated in these other areas. In fact, schools and districts that elect to utilize the rubric are encouraged to add or develop additional indicators. However, any additions should supplement, not supplant, the indicators already outlined in the rubric. <u>Revisions must also maintain student growth data as the predominant measure.</u>

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[1] Copland, M. (2001). *The Myth of the Superprincipal*. Phi Delta Kappan. Bloomington, IN.

What is the leadership matrix?

Indicator 3.2.3 was developed as an outgrowth of Clay Christensen's work in Chapter 8 of *Disrupting Class*. In his book, Christensen presents a leadership matrix (shown on the following page) which outlines the different strategies that leaders may use when the extent to which stakeholders agree on what they want and the extent to which stakeholders agree on cause and effect are misaligned within a school or organization. Effective leaders are acutely aware of where their schools fit within this matrix and use this recognition to engender change.

How do I ensure the effective implementation of the Principal Effectiveness Rubric?

The devil is in the details. Even the best principal evaluation tool can be undermined by poor implementation. Successful implementation of the Principal Effectiveness Rubric will require a focus on four core principles[2]:

1. **Training and support:** Administrators responsible for the evaluation of principals must receive rigorous training and ongoing support so that they can make fair and consistent assessments of performance and provide constructive feedback and differentiated support.

2. **Accountability:** The differentiation of principal effectiveness must be a priority for district administrators, including the superintendent, and one for which they are held accountable. Even the best evaluation tool will fail if the information it produces is of no consequence.

3. **Credible distribution:** If the rubric is implemented effectively, ineffective ratings will not be anomalous, surprising, or without clear justification. The performance distribution of principals must be closely monitored and a vehicle established to declare evaluations invalid if results are inflated.

4. **Decision-making:** Results from the principal evaluation must be fully integrated with other district systems and policies and a primary factor in decisions such as how principals are assigned and retained, how principals are compensated and advanced, what professional development principals receive, and when and how principals are dismissed.

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[2] Informed by The New Teacher Project's *The Widget Effect* (2009).

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
PLEASE NOTE: THIS MODEL EVALUATION RUBRIC IS STILL IN DRAFT FORM! However, because IDOE understands the high level of interest in the field with regard to evaluations, we elected to share this DRAFT to give educators an in-depth look at the basic components of what an evaluation rubric **might** look like. The IDOE **will not** require any Indiana school to use this or any specific evaluation tool. While local leaders may adopt this model rubric as is if they so choose, IDOE recruited educators from across the state to develop this model to support locals in crafting the best possible evaluation rubric to meet the needs of both the students and the professionals in their building. IDOE will release the **FINAL** version of this model rubric when collaboration with teachers, administrators, and other education stake holders is complete.

Domain 1: Student Outcomes

The primary marker of a great principal is the improvement of student achievement. All schools, no matter how high or low their current achievement levels, have room to measurably get better.

Indicator		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
1.1 Student Achievement					
1.1.1	Academic results	• Consistent record of improved student achievement on multiple indicators (e.g. AYP, PL 221) of student success; results greatly exceed performance for comparable schools.	• Meets performance goals for student achievement. Overall performance improves, as does the achievement of each subgroup of students. Does not confuse effort with results.	• Some evidence of improvement, but insufficient evidence that current steps will create the improvements necessary to achieve student performance goals.	• Little to no evidence of improvement; has not taken decisive action in order to improve student achievement.
1.1.2a	Student growth on ISTEP+	• Schoolwide growth at the 80th percentile or above.	• Schoolwide growth between the 50th and 79th percentiles.	• Schoolwide growth between the 35th and 49th percentiles.	• Schoolwide growth at the 34th percentile or below.
1.1.2b	Student growth on other measure(s)	• Most students are on track to make at least one and one-half grade levels of growth during the academic year.	• Most students are on track to make at least one grade level of growth during the academic year.	• Many students are not on track to making sufficient academic growth.	• Most or all students are not making sufficient progress.
1.1.3	Student attendance	• School has average attendance of 95% or greater.	• School has average attendance between 93% and 94%.	• School has average attendance between 90% and 92%.	• School has average attendance of 89% or below.
1.2 Additional Achievement Indicators for High School Principals					
1.2.1	Graduation rate	*See Table 1 on page 10*			
1.2.2	College matriculation	*See Table 2 on page 10*			
1.2.3	College readiness	*See Table 3 on page 10*			

Domain 2: Teacher Effectiveness

Great principals know that teacher quality is the most important in-school factor relating to student achievement. Principals drive effectiveness through (1) their role as a human capital manager and (2) by providing instructional leadership. Ultimately, principals are evaluated by their ability to drive increases in the number of teachers rated as effective or highly effective based on a system that credibly differentiates the performance of teachers based on rigorous, fair definitions of teacher effectiveness.

Indicator		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
2.1 Human Capital Manager					
2.1.1	Hiring and retention	• Recruits, hires, and supports highly effective teachers (i.e. those whose students make at least <u>one and one-half grade levels</u> of growth in an academic year) who share the school's vision/mission.	• Recruits and hires effective teachers (i.e. those whose students make at least <u>one grade level</u> of growth in an academic year) who share the school's vision/mission.	• Hires teachers with varying levels of effectiveness, who seem to fit his or her philosophy of teaching.	• Fills teaching vacancies based on candidates who are available.
2.1.2	Evaluation of teachers	• Establishes an effective system that prioritizes teacher evaluation over competing commitments and understands the importance of discrete performance ratings, dedicating the time and resources necessary to ensure the accurate evaluation of every teacher in the building.	• Uses teacher evaluations to credibly differentiate the performance of teachers in order to develop a clear picture of the strengths and learning needs of each teacher.	• Many teachers at the school are evaluated as good or great (e.g. satisfactory or exemplary, at standard or above standard, effective or highly effective).	• Most or all teachers at the school are evaluated as good or great (e.g. satisfactory or exemplary, at standard or above standard, effective or highly effective).
2.1.3	Professional development	• Orchestrates aligned, high quality coaching, workshops, school visits, and other professional learning tuned to staff needs based on student performance.	• Orchestrates regular teacher team meetings as the prime locus for professional learning.	• Suggests that teacher teams work together to address students' learning challenges.	• Does not emphasize teamwork and teachers work mostly in isolation from colleagues.
2.1.4	Leadership and talent development	• Designs and implements succession plans (e.g. career ladders), for every position in the school, which allow for leadership and growth.	• Provides formal and informal leadership opportunities to mentor emerging leaders.	• Tries to provide occasional opportunities to guide emerging leaders.	• Appears indifferent to the need for leadership development in others.
2.1.5	Delegation	• Has identified highly competent stakeholders in all key roles and is able to entrust them with maximum	• Delegates appropriate tasks to competent staff members, checks on progress, and provides support.	• Doesn't delegate some tasks that should be done by others.	• Does almost everything him- or herself.

Indicator		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
		responsibility.			
2.1.6	Dismissing poor performers	• Counsels out or recommends to the school board the dismissal of *all* ineffective teachers, scrupulously following contractual requirements.	• Counsels out or recommends to the school board the dismissal of *most* ineffective teachers, carefully following contractual requirements.	• Puts ineffective teachers on improvement plans.	• Does not initiate dismissal procedures, despite evidence that some teachers are ineffective.
2.2 Instructional Leadership					
2.2.1	Mission and vision	• Cultivates ownership of a compelling instructional vision, with specific goals that make plain what the vision looks like in the short-term and long-term. All key decisions are aligned to this vision.	• Inspires and gains the commitment of others towards the school's vision, mission, values, and organizational goals.	• Promotes a vision of high standards and expectations for all students.	• Has a personal vision for the school and student success, but it is disconnected from the beliefs held by many stakeholders.
2.2.2	Classroom observations	• All teachers are visited frequently and receive prompt and helpful feedback. Time spent observing teachers and providing quality feedback is considered sacred.	• Makes unannounced visits to a few classrooms every day and gives helpful feedback to teachers.	• Tries to get into classrooms but is often distracted by other events and rarely provides feedback.	• Only observes teachers during formal observation visits.
2.2.3	Teacher collaboration	• Establishes a culture of collaboration where teamwork, reflection, conversation, sharing, openness, and problem solving about student learning and achievement are widespread and aligned to clear instructional priorities.	• Supports ongoing teacher reflection, conversation, and collaboration by providing sufficient time, tools, and holding collaborative teams accountable for their work.	• Promotes collaboration among team members that generally focuses on instruction.	• Teacher collaboration is non-existent or not aligned to clear academic priorities.

Domain 3: Leadership Actions

Great principals are deliberative in making decisions to raise student outcomes and drive teacher effectiveness. Certain leadership actions are critical to achieving transformative results: (1) modeling the *personal behavior* that sets the tone for all student and adult relationships in the school; (2) *building relationships* to ensure all key stakeholders work effectively with one another; and (3) developing a schoolwide *culture of achievement* aligned to the school's vision of success for every student.

Indicator		Highly Effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
3.1 Personal Behavior					
3.1.1	Ethics	• Models professional, ethical behavior at all times and expects it from others.	• Expresses and behaves in a way that is respectful of the norms, values, and culture of the organization.	• Understand the norms, values, and culture of the organization, but is not always consistent in behaving that way.	• Behaves and acts in a way that does not consider the norms, values, and culture of the organization.
3.1.2	Time management	• Establishes yearly, monthly, weekly, and daily priorities and objectives, relentlessly getting the highest-leverage activities done.	• Plans for the year, month, week, and day, keeping the highest-leverage activities front and center.	• Comes to work with a list of what needs to be accomplished that day, but often loses focus on them.	• Has a list in his or her head of tasks to be accomplished each day, but often loses track.
3.1.3	Using feedback to improve performance	• Actively solicits and uses feedback and help from all key stakeholders in order to drive student achievement.	• Seeks out feedback and acts upon it to shape strategic priorities aligned to student achievement.	• Accepts feedback when approached and occasionally includes it in his/her priorities.	• Avoids or does not value feedback and it is not evident in his/her priorities.
3.1.4	Initiative and persistence	• Goes above and beyond typical expectations to achieve exceptional results. Unafraid in taking risks to focus key stakeholders more closely on student achievement.	• Coupled with outstanding attendance, works extra hours to complete work even when not required; takes on voluntary responsibilities that contribute to both the school and the district.	• Completes assigned responsibilities as required and without extra supervision.	• Does not show up for work reliably or requires extra supervision to fulfill assigned responsibilities.
3.2 Building Relationships					
3.2.1	Culture of urgency	• Establishes an organizational culture where students, parents, teachers and staff relentlessly pursue academic and behavioral excellence.	• Generates a sense of urgency by aligning the energy of others in pursuit of student growth and achievement.	• Encourages and attempts to reinforce efficacy in individuals to produce results.	• Has not been able to model efficacy or motivate many staff members.
3.2.2	Communication	• Skillfully and clearly communicates goals to all stakeholders (i.e. students,	• Uses a variety of means (e.g. face-to-face, newsletters, websites) to	• Has a limited communication repertoire and some key	• Is not an effective communicator, and others are often left guessing about

		teachers, parents, central office, community, business, global) using a variety of channels.	communicate academic goals to many stakeholders.	stakeholders are not aware of school goals.	policies and direction.

3.2.3	Forging consensus for change	• Manages change and moves key stakeholders from agreement to cooperation, understanding the tools and strategies most likely to be effective in various situations.	• Guides others through change and addresses resistance to that change.	• Uses different tools and strategies to build agreement for change.	• There is broad disagreement with regard to what key stakeholders want and how to get there.

3.3 Culture of Achievement

3.3.1	High expectations	• Empowers teachers and staff to set high and demanding academic and behavior expectations for every student. Students are consistently learning, respectful, and on task.	• Sets clear expectations for student academics and behavior, establishing consistent practices across classrooms.	• Urges staff to demand academic success and/or good student behavior, but allows different standards in different classrooms.	• Accepts poor academic performance and/or student behavior.
3.3.2	Non-negotiables	• Clearly articulates rigorous academic priorities that are accepted as fixed and immovable.	• Has established academic priorities that are considered fixed and immovable.	• Has a list of academic priorities.	• Has not established clear academic priorities.
3.3.3	Data analysis	• Orchestrates high-quality, meaningful team collaboration and action planning after each round of interim assessments.	• Monitors teacher teams as they analyze interim assessment results and formulate action plans.	• Suggests that teacher teams work together to draw lessons from the tests they give.	• Does not prioritize the analysis of tests given during the year.

Scoring for Additional Achievement Indicators for High School Principals

Scoring for Indicators 1.2.1, 1.2.2, and 1.2.3.are based on two factors: performance and improvement. Principals leading schools with lower performance but strong improvement may receive comparable scores as principals leading schools with higher performance and lower improvement.

Table 1.
Indicator 1.2.1 – Graduation rate

Performance (non-waiver graduation rate)	Improvement (non-waiver graduation rate improvement over one year)			
	Highly effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
≥ 95%				
≥ 90%	≥ 5%	≥ 1%	< 1%	
≥ 60%	≥ 15%	≥ 5%	≥ 1%	< 1%
≤ 59%		≥ 15%	≥ 5%	< 5%

Table 2.
Indicator 1.2.2 – College matriculation

Performance (% of graduates enrolling in a two or four-year institution, trade school, or technical school)	Improvement (Improvement in % of graduates enrolled over one year)			
	Highly effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
≥ 90%				
≥ 80%	≥	≥	<	
≥ 60%	≥	≥	≥	<
≤ 59%		≥	≥	<

Table 3.
Indicator 1.2.3 – College readiness*

Performance (PSAT Score)	Improvement (Average PSAT score improvement over one year)			
	Highly effective (4)	Effective (3)	Improvement Necessary (2)	Ineffective (1)
≥ 155				
≥ 140	≥	≥	<	
≥ 120	≥	≥	≥	<
≤ 119		≥	≥	<

* Here the PSAT is used as the primary yardstick for college readiness. However, AP and IB are also acceptable measures for this indicator.

SUMMARY AND RATING

IDOE and the Evaluation Cabinet are heavily focused on developing this section in spring 2011. Involved in this work are discussions on weighting indicators and sections, outlining guidelines for frequency and minimum number of observations, as well as sources for tested and untested data. Our assessment team will be working with the Evaluation Cabinet in thinking through how data is incorporated into evaluations in a fair and transparent manner. Lastly, we will design a matrix that will roll all of this evidence up into a final summative rating. We will continue to update these drafts throughout the coming year.